



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/778,388	02/07/2001	Francis C. Szoka JR.	13054.01600

## CONFIRMATION NO. 4514

## FORMALITIES LETTER

Crosby, Heafey, Roach & May  
 P.O. Box 7936  
 San Francisco, CA 94120-7936



\*OC000000005929364\*

Date Mailed: 04/03/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$816.
  - \$576 for 32 total claims over 20.
  - \$240 for 3 independent claims over 3 .
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1656.**

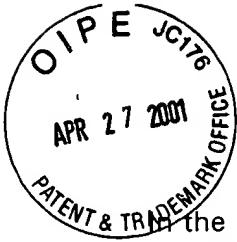
*A copy of this notice **MUST** be returned with the reply.*

*Sm*  
 Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

04/30/2001 KZENDIE 00000034 09778388  
 01 FC:201 02 FC:205  
 03 FC:203 04 FC:202



Attorney's Docket No. 13054.01600

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

the application of:  
Francis C. Szoka, Jr. et al.

For: pH SENSITIVE LIPIDS BASED ON  
ORTHO ESTER LINKERS, COMPOSITION  
AND METHOD

Serial No. 09/778,388

Filed: February 7, 2001

Examiner:

Group Art Unit: 3763

**RESPONSE TO NOTIFICATION OF MISSING PARTS**

Assistant Commissioner For Patents  
Box Missing Parts  
Washington, D.C. 20231

Sir:

In response to the Examiner's Notice To File Missing Parts Of Application mailed April 3, 2001 (copy enclosed), enclosed are a signed Declaration, an Assignment with attached Recordation Form Cover Sheet (Form PTO-1595), and a Power of Attorney By Assignee for the above-referenced application.

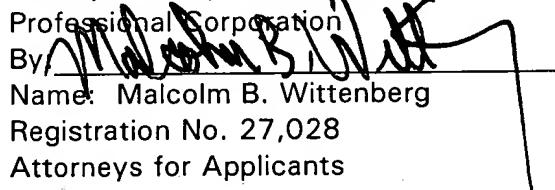
Applicants hereby assert their claim to entitlement of small entity status under 37 CFR 1.27(c)(1).

Enclosed is check no. 2153 in the amount of \$868.00 to cover the basic filing fee for a small entity (\$355.00), the total additional claim fees for a small entity (\$408.00), the recordation fee for an assignment as set forth under 37 CFR 1.21(h) (\$40.00), and the surcharge as set forth in 37 CFR 1.16(e).

The Commissioner is hereby authorized to charge any additional fees (or credit any overpayment) associated with this communication and which may be required under 37 CFR § 1.16 or § 1.17 to Deposit Account No. 03-3821, referencing Attorney Docket No. 13054.01600. A duplicate sheet is attached.

Dated: April 24, 2001

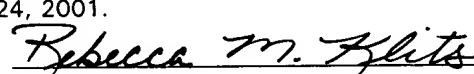
Two Embarcadero Center, Ste. 2000  
P.O. Box 7936  
San Francisco, CA 94120-7936  
(415) 543-8700 Telephone  
(415) 391-8269 Facsimile

Respectfully submitted,  
Crosby, Heafey, Roach & May  
Professional Corporation  
By   
Name: Malcolm B. Wittenberg  
Registration No. 27,028  
Attorneys for Applicants

**CERTIFICATE OF MAILING - 37 C.F.R. § 1.08**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Box Missing Parts, Washington, D.C. 20231 on April 24, 2001.

April 24, 2001

  
Rebecca M. Klits



Attorney's Docket No. 13054.01600

*Sector #*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Francis C. Szoka, Jr. et al.

For: pH SENSITIVE LIPIDS BASED ON  
ORTHO ESTER LINKERS, COMPOSITION AND  
METHOD

Serial No. 09/778,388

Filed: February 7, 2001

Examiner:

Group Art Unit: 3763

TRANSMITTAL LETTER

Assistant Commissioner For Patents  
Box Missing Parts  
Washington, D.C. 20231

Sir:

In response to the Examiner's Notice To File Missing Parts Of Application mailed April 3, 2001 (copy enclosed), enclosed is a Response To Notification Of Missing Parts and check no. 2153 in the amount of \$868.00 to cover the basic filing fee for a small entity (\$355.00), the total additional claim fees for a small entity (\$408.00), the recordation fee for an assignment as set forth under 37 CFR 1.21(h) (\$40.00), and the surcharge for a small entity as set forth in 37 CFR 1.16(e) (\$65.00).

Applicants hereby assert their claim to entitlement of small entity status under 37 CFR 1.27(c)(1).

The Commissioner is hereby authorized to charge any additional fees (or credit any overpayment) associated with this communication and which may be required under 37 CFR § 1.16 or § 1.17 to Deposit Account No. 03-3821, referencing Attorney Docket No. 13054.01600. A duplicate sheet is attached.

Respectfully submitted,  
Crosby, Heafey, Roach & May  
Professional Corporation

By:

Name: Malcolm B. Wittenberg  
Registration No. 27,028  
Attorneys for Applicants

Dated: April 24, 2001

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April 24, 2001

*Rebecca M. Klits*  
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